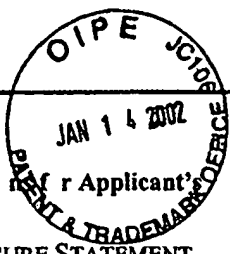


Form PTO-1449 (modified)

List of Patents and Publications of Applicant

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Atty. Docket No.
01-381Serial No.
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Applicant

Schmitz, et al.

Filing Date:
June 29, 2001Group:
3628U.S. Patent Documents
See Page 1Foreign Patent Documents
See Page 1Other Art
See Page 1

U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
	A1						

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
FP	B1	WO 00/57307A1	09/28/2000	PCT	G06F 17	30	

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
FP	C1	The National Association of Securities Dealers, Inc., "NASD Notice to Members 00-65," September 2000, (5 pages).
FP	C2	Special Study: Payment for Order Flow and Internalization in the Options Markets, www.sec.gov/news/studies/ordpay.htm , printed on October 19, 2001, (40 pages).

EXAMINER: F Poinvil

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